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Key Factors in Successful Community-Based Policy-Making
A case study analysis

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Presenter Disclosures

Alberto J.F. Cardelle

The following personal financial relationships with commercial interests relevant to this presentation existed during the past 12 months:

"No relationships to disclose"

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Current Situation

- An increasing importance on
  - Policy and Systems Change
    - The socio-ecological model approach as a model to ensure sustainable change
  - Collaboratives or Community Consortiums
    - Seen as a tool for group problem solving, decision making, and action

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Background

- Five year cooperative agreement focused on addressing risk factors associated with most significant chronic diseases-
  - Physical Inactivity
  - Tobacco Use
  - Obesity and Overweight
  - Asthma
- Multiple sectors targeted
  - Community
  - Worksites
  - Schools
  - Health care providers

Steps to a Healthier PA

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Background

- Major emphasis on the implementation of interventions using Collaboratives and Community Consortiums

- Implementations across the socio-ecological model

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Background

- Single hospital-system
- Strong community consortium
- Steps part of existing organization

Tioga

Luzerne
- Multiple hospital-system
- Weak community consortium
- Steps independent 501(c) 3

Fayette
- Multiple hospital-system
- Limited community consortium
- Steps independent 501(c) 3

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Program Evaluation

- Multi-level and multi-site evaluation
  - Over 400 interventions monitored and/or evaluated
  - Mixed-method methodology used in both formative and summative evaluation

  1. Summative Evaluation of Community Consortium
  2. Formative Evaluation/Case-Studies of Interventions

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Consortium Evaluation

- Consortium members completed 2-part web-based survey administered semi-annually
  - *Measuring collaboration across the Socio-Ecological Model* (Cardelle & Mandel 2009).
  - *Using Social Network Analysis to Diagnose Hurdles in Sustaining Collaboratives* (Cardelle & Mandel 2009).

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Measuring Collaboration Across the Socio-Ecological Model.

Types of Collaborative Interventions

Perceived Benefits of Collaboration

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Slide 10

Using Social Network Analysis to Diagnose Hurdles in Sustaining Collaboratives

Smaller Coalitions with Equitable Actors

Larger Coalitions with Major Actors

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QUESTIONS

1) Do the communities differ with regard to the level of interventions addressing *Policy and Systems Change?*

2) If yes, what are the key factors that differentiated the communities?

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Process evaluation:case studies

Evaluation produced a searchable database of 380 interventions in the three Steps communities.

Case studies describing the process of assessment, planning, implementation and evaluation, of 80 interventions were developed.

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Question 1
Yes, the communities did differ.

Socio-Ecological Model

POLICY, SYSTEMS, ENVIRONMENTS
nation, state, local laws

1% / 15%

COMMUNITY
relationships among organizations

ORGANIZATIONAL
organizations, social institutions

INTERPERSONAL
family, friends, social net-

INDIVIDUAL
knowledge, attitudes, skills

80% / 40%

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Question 2: Key Factors
Methodology

- Qualitative Comparative Analysis (QCA).
  - Comparative Case-Study Analysis
    1. Identify cases & theoretically relevant attributes
       - 27 cases of interventions designed to change policy and/or systems –
         - *Young Lungs at Play - School Health Advisory Councils- Smoke-Free* - Worksite Nutrition etc.*
       - 5 attributes (factors) identified in each case
         a. *Evidenced-Based Intervention*
         b. *Visibility of the Intervention*
         c. *Presence of Strong Coalition*
         d. *Major Actor Dominated*
         e. *Independent Steps Organization*

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Question 2: Key Factors
Methodology

- Qualitative Comparative Analysis (QCA).
  1. Select cases & theoretically relevant attributes
  2. Compare cases to reveal patterns of similarities/differences among cases sharing outcome
     - Identify the presence and absence of attributes —
       - Crisp sets distinguish 'present' (1) and 'absent' (0)
     - Identify the presence and absence of outcome —
       - Successful Policy Change
     - Construct truth-tables that include all logically possible configurations of included attributes

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Question 2: Key Factors
Methodology

- Qualitative Comparative Analysis (QCA).
  1. Select cases & theoretically relevant attributes
  2. Compare cases to reveal patterns of similarities/differences among cases sharing outcome
  3. Identify the common configurations that result in common outcomes
     - Sort cases into different combination of attributes and record outcomes & consistency
     - Boolean algebra is used to reduce truth table to expression covering combinations with same outcome and identify necessary and sufficient attributes.
       - If A + b + c = F
       - and A + B+ c = F
       - Then:
       - A + c = F (the presence of B is irrelevant and attributes A & c are necessary but none is sufficient).

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Question 2: Key Factors
Methodology

- Qualitative Comparative Analysis (QCA).
  1. Select cases & theoretically relevant attributes
  2. Compare cases to reveal patterns of similarities/differences among cases sharing outcome
  3. Identify the configurations of attributes that result in successful outcomes
     - Sort cases into different combination of attributes and record outcomes & consistency
     - Boolean algebra is used to reduce truth table to expression covering combinations with same outcome and identify necessary and sufficient attributes. For example --
       - If A * b * c = F
       - and A * B * c = F
       - Then:
       - A * c = F (the presence of B is irrelevant and attributes A & c are necessary but none is sufficient).

     - Analysis completed using FS-QCA

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Question 2: Key Factors Results

- Policy Change are caused by a combination of –
  - Complex Solution [i]
    - evidence*-strong coalition*-major actor* org independence

  - Parsimonious Solution [i] (necessary attributes)
    - organizational independence
    - absence of major actor

  - Intermediate Solution [i]
    - -strong coalition*-major actor* org independence

(i) Solution coverage = .842105 & Consistency = .941176

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Question 2
The key factors that differentiated the communities--

- No one Factor (attribute) is sufficient to attain positive policy change.
- Two Factors are necessary --
  - Organizational Independence &
  - Absence of Major Actor.
- The most likely path to positive policy change includes the necessary attributes plus
  - Absence of a Strong Coalition

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Lessons Learned

- The model fits the observed contextual reality -- Step communities were less likely to engage in "new" or "riskier" activities when --
  1. Staff depended on another more established organizational structure,
  2. Community health environment was influenced by a small number of organizations
  3. Strong coalitions resulted in more set "comfort zones"
- The model has an intuitive logic.
  - Since, policy change is a relative new practice area for CHW,
  - An environment with - - will not engender policy change activities.
    - Few incentives for risk-taking &
    - Limited space for new views and perspectives

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Thank You

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